

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE FORM PTO-1390 (Modified) (REV 11-2000)		ATTORNEY'S DOCKET NUMBER <b>828</b>
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR <b>09/856212</b>
INTERNATIONAL APPLICATION NO. <b>PCT/JP99/06477</b>	INTERNATIONAL FILING DATE <b>November 19, 1999</b>	PRIORITY DATE CLAIMED <b>November 19, 1998</b>
TITLE OF INVENTION <b>PRODUCTION METHOD FOR SILICON SINGLE CRYSTAL AND PRODUCTION DEVICE FOR SINGLE CRYSTAL INGOT, AND HEAT TREATING METHOD FOR SILICON SINGLE CRYSTAL WAFER</b>		
APPLICANT(S) FOR DO/EO/US <b>NAKAMURA et al.</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))             <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol>		
Items 13 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> <li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li> <li>23. <input type="checkbox"/> Other items or information:</li> </ol>		

U.S. APPLICATION NO. (UNKNOWN NUMBER) <b>09/8562</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP99/06477</b>	ATTORNEY'S DOCKET NUMBER <b>82821</b>
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24. The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

- |  |           |
|--|-----------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... | \$1000.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....   | \$860.00  |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....  | \$710.00  |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....   | \$690.00  |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....   | \$100.00  |

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

**\$860.00**

Surcharge of **\$130.00** for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).

20     30

**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	23 - 20 =	3	x \$18.00	<b>\$54.00</b>
Independent claims	14 - 3 =	11	x \$80.00	<b>\$880.00</b>

Multiple Dependent Claims (check if applicable).

**TOTAL OF ABOVE CALCULATIONS =** **\$1,794.00**

Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.

**SUBTOTAL =** **\$1,794.00**

Processing fee of **\$130.00** for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)).

20     30

**\$0.00**

**TOTAL NATIONAL FEE =** **\$1,794.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

**\$40.00**

**TOTAL FEES ENCLOSED =** **\$1,834.00**

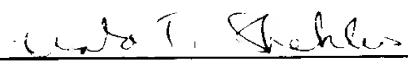
<b>Amount to be:</b>	<b>\$</b>
<b>refunded</b>	
<b>charged</b>	<b>\$</b>

- a.  A check in the amount of **\$1,834.00** to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **23-0920** A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Gerald T. Shekleton, Esq.  
WELSH & KATZ, LTD.  
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22nd Floor  
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SIGNATURE

**Gerald T. Shekleton**

NAME

**27,466**

REGISTRATION NUMBER

**5 / 18 / 01**

DATE

09/856212

18 Rec'd PCT/PTO 18 MAY 2001  
Docket No.**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): NAKAMURA et al.

82821

Serial No.

Filing Date

Examiner

Group Art Unit

Invention: **PRODUCTION METHOD FOR SILICON SINGLE CRYSTAL AND PRODUCTION DEVICE FOR SINGLE CRYSTAL INGOT, AND HEAT TREATING METHOD FOR SILICON SINGLE CRYSTAL WAFER**

I hereby certify that the following correspondence:

**371 Patent Application***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

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*(Date)***Allen Walker**

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*(Typed or Printed Name of Person Mailing Correspondence)*

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*(Signature of Person Mailing Correspondence)***EL769845465US**

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*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

In Re Patent Application

NISHIMURA et al. -- T. Kimura Patent Office

**PRODUCTION METHOD FOR SILICON SINGLE CRYSTAL  
AND PRODUCTION DEVICE FOR SINGLE CRYSTAL INGOT**

AND NEW TREATMENT METHODS FOR JALOUSIE SMALL VASCULAR LESIONS

PATENT  
82821

**Transmittal Letter;** (form PTO-1390 (2pp's.)); **Preliminary Amendment;** Data Sheet; **Declaration/power of Attorney;** Assignment w/ form PTO-1595; 50 pes of spec., incl. 23 claims & abstract; 16 sheets of Formal Drawings; Copies of: Form PCT/ISA/210; Form PTO-1449; 1st pg. of WO00/31325; Check for \$1834.00; Postcard and Verified Certification of Express Mailing Date

515;

Please acknowledge receipt of the above-identified documents by applying the Patent and Trademark Office receipt hereto and mailing this card.

Respectfully submitted,

09 / 856212

JGIA Rec'd PCT/PTO 18 MAY 2001